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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/401,251	09/23/1999	CATHERINE M. KEENE	A0653-1160	4434

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EXAMINER

PHAM, HUNG Q

ART UNIT

PAPER NUMBER

2172

DATE MAILED: 01/02/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

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**Office Action Summary**

Application No.

09/401,251

Applicant(s)

KEENE ET AL.

Examiner

HUNG Q PHAM

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**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --****Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). ____.  |
| 2) <input checked="" type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)              | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) <u>5</u> . | 6) <input type="checkbox"/> Other:  |

**DETAILED ACTION**

***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

2. The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) do not apply to the examination of this application as the application being examined was not (1) filed on or after November 29, 2000, or (2) voluntarily published under 35 U.S.C. 122(b). Therefore, this application is examined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

3. Claims 1-2 and 7-15 are rejected under 35 U.S.C. 102(e) as being anticipated by Thorsen [USP 6,052,688].

Regarding to claim 1, Thorsen teaches a system for accessing data in a computer-based data processing comprises:

“a database for storing an object and associated information, the object comprising distinguishable groups of data, each group or data having associated access criteria for access to the groups of data (see Fig. 3B, col. 8, lines 43-56)”;

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“a central processing unit (CPU) for controlling the access to the database (see col. 9, lines 39-43)”;

“a memory for storing software code for controlling the operation of the CPU (see Fig. 1, col. 7, lines 5-16)”;

“access application code stored in the memory and executable by the CPU (see col. 9, lines 39-46), the application code being responsive to the access criteria associated with the groups of data contained within an object and to predetermined privileges for allowing controlled access to individual groups of data contained within the object by an individual user according to the user's privileges (see col. 11, lines 6-19; col. 9, lines 1-16)”.

Regarding to claim 2, Thorsen teaches all the claimed subject matters as discussed in claim 1 and further discloses: “access includes the ability of a user to read the contents of the requested object (see col. 10, line 42-col. 11, line 5)”.

Regarding to claim 7, Thorsen teaches a method for accessing data in a computer-based data processing comprises:

“storing an object, the object comprising distinguishable groups of data, each group of data having associated access criteria for access to the groups of data (see Fig. 3B, col. 8, lines 43-56)”;

“controlling the access to the database using a central processing unit(CPU) according to access criteria (see col. 9, lines 39-43)”;

“storing software code for controlling the operation of the CPU in memory (see Fig. 1, col. 7, lines 5-16)”;

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“allowing controlled access to individual groups of data contained within the object by an individual user according to the user's privileges in response to the access criteria associated with the group of data contained within an object and to predetermined privileges (see col. 11, lines 6-19; col. 9, lines 1-16)”.

Regarding to claim 8, Thorsen teaches all the claimed subject matters as discussed in claim 7 and discloses the method further comprises:

“receiving an object request by a requestor (see Fig. 7, col. 11, lines 41-46)” ;

“verifying the requestor's user privilege access criteria (see Fig. 7, col. 11, lines 49-53)”; and

“transmitting information according to the requestor's user privilege access criteria (see Fig. 7, col. 11, lines 53-65)”.

Regarding to claim 9, Thorsen teaches all the claimed subject matters as discussed in claim 7 and further discloses: “establishing an object includes loading information into the object into separate groups having separate access privilege criteria (see Fig. 2-3A; col. 8, lines 12-34)”.

Regarding to claim 10, Thorsen teaches all the claimed subject matters as discussed in claim 7 and further discloses: “establishing privilege access criteria includes identifying the separate groups of information to which the user may access (see col. 11, lines 6-33)”.

Regarding to claim 11, Thorson teaches all the claimed subject matters as discussed in claim 7 and further discloses the step of “verifying the requestor's user privilege access criteria includes extracting the requestor's user identification from the

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object request (see Fig. 7, col. 11, lines 34-41), verifying the requestor's user identification (see col. 11, lines 41-53) and identifying the groups of data to which the requestor has access (see col. 11, lines 56-65)".

Regarding to claim 12, Thorson teaches all the claimed subject matters as discussed in claim 7 and further discloses the step of "transmitting a redacted object includes sending an electronic object to the requestor that contains the groups of information to which the requestor has access to and that excludes groups of information to which the requestor does not have access (see col. 11, lines 56-65)".

Regarding to claim 13, Thorson teaches a computer program product for use with a computer system, "a central processing unit and means coupled to the central processing unit for storing a database to automatically manage objects for viewing and marking an object having varying formats without the use of any originating application of a file to view the object (see Fig. 3B)", comprises:

"computer readable code means for establishing an object in a storage location (see Fig. 2, col. 8)";

"computer readable code means for identifying a user to have access to the object (see col. 11, lines 6-60)";

"computer readable code means for establishing privilege access criteria that define the scope of access of the object for the user (see col. 10, line 42-col. 11, line 5)";

"computer readable code means for receiving an object request by a requestor (see col. 11, lines 56-60)";

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“computer readable code means for verifying the requestor’s user privilege access criteria (see col. 11, lines 49-51)”; and

“computer readable code means for transmitting a redacted document according to the requestor’s user privilege access criteria (col. 11, lines 60-65)”.

Regarding to claim 14, Thorsen teaches a computer program device comprises: “a computer program storage device readable by a digital processing apparatus; a program stored on the program storage device and including instructions executable by the digital processing apparatus for controlling the apparatus to perform a method of managing documents for viewing and marking an object having varying formats without the use of any originating application of a file to view the object stored in the file (see col. 20, lines 37-61)” comprises:

“identifying a user to have access to the object (see col. 11, lines 6-60)”;

“establishing privilege access criteria that define the scope of access of the object for the user (see col. 10, line 42-col. 11, line 5)”;

“receiving a object request by a requestor (see col. 11, lines 56-60)”;

“verifying the requestor’s user privilege access criteria (see col. 11, lines 49-51)”;

and

“transmitting a redacted object according to the requestor’s user privilege access criteria (col. 11, lines 60-65)”.

Regarding to claim 15, Thorsen teaches a computer server having a data base for storing data pertaining to product information, a method of securely transferring data between a source and an access destination (see Abstract and Fig. 3B) comprises:

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"establishing an object in a storage location (see Fig. 2, col. 8)";

"identifying a user to have access to the object (see col. 11, lines 6-60)";

"establishing privilege access criteria that define the scope of access of the object for the user (see col. 10, line 42-col. 11, line 5)";

"receiving a object request by a requestor (see col. 11, lines 56-60)";

"verifying the requestor's user privilege access criteria (see col. 11, lines 49-51)";

and

"transmitting a redacted object according to the requestor's user privilege access criteria (col. 11, lines 60-65)".

### ***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).



6. Claims 3-6 are rejected under 35 U.S.C. 103(a) as being unpatentable over Thorsen [USP 6,052,688].

Regarding to claim 3, Thorsen teaches all the claimed subject matters as discussed in claim 2 except "access includes the ability to modify the contents of the requested object". However, Thorsen teaches the structure of an access node includes a control file that specifies a field to represent the relevant access level for that node and a letter represents this field, for example: "r" means that reading is allowed (see col. 10, lines 42-60). Thus, the field can be represented in different predefined relevant access levels, which depends upon the access criteria such as: modifying, deleting, or adding. Therefore, it would have been obvious for one of ordinary skill in the art at the time the invention was made to modify the Thorsen control file in an access structure to have a field that indicates the ability to modify the contents of the requested object in order to manipulate the data if a user has the specified access rights.

Regarding to claim 4, Thorsen teaches all the claimed subject matters as discussed in claim 3 except "access includes the ability to delete information contained in the requested object". However, Thorsen teaches the structure of an access node includes a control file that specifies a field to represent the relevant access level for that node and a letter represents this field, for example: "r" means that reading is allowed (see col. 10, lines 42-60). Thus, the field can be represented in different predefined relevant access levels, which depends upon the access criteria such as: modifying, deleting, or adding. Therefore, it would have been obvious for one of ordinary skill in the art at the time the invention was made to modify the Thorsen control file in an access

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structure to have a field that indicates the ability to delete information contained in the requested object in order to manipulate the data if a user has the specified access rights.

Regarding to claim 5, Thorsen teaches all the claimed subject matters as discussed in claim 3 except "access includes the ability to add data to the requested object". However, Thorsen teaches the structure of an access node includes a control file that specifies a field to represent the relevant access level for that node and a letter represents this field, for example: "r" means that reading is allowed (see col. 10, lines 42-60). Thus, the field can be represented in different predefined relevant access levels, which depends upon the access criteria such as: modifying, deleting, or adding. Therefore, it would have been obvious for one of ordinary skill in the art at the time the invention was made to modify the Thorsen control file in an access structure to have a field that indicates the ability to add information to the requested object in order to manipulate the data if a user has the specified access rights.

Regarding to claim 6, Thorsen teaches all the claimed subject matters as discussed in claim 1 except the "access is determined by a business relationship to produce products and defined by the host according to the need of information in the product chain". However, Thorsen teaches: the system to manage and access data of an enterprise with different departments such as finance, production, sales and storage... (see col. 1, lines 14-27) that leads to controlling access as an object of Thorsen system (see col. 3, lines 8-22). This indicates a business relationship that has productions and the need of information in the product chain, also the access right

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defined by the host. Therefore, it would have been obvious for one of ordinary skill in the art at the time the invention was made to modify the Thorsen system to have a business relationship that determine the access to the information in the product chain in order to exchange business data in a proper way.

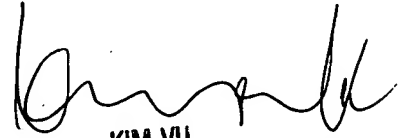
### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Hung Pham whose telephone number is 703-605 4242. The examiner can normally be reached on Monday-Friday, 7:00 Am - 3:30 Pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, VU, KIM YEN can be reached on 703-305 4393. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746 7239 for regular communications and 703-746 7238 for After Final communications. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305 3900.

**Examiner: Hung Pham**

Dec 21 2001

  
KIM VU  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100